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CF/012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stewart Harris et al.
Application No.: 09/755,591 Confirmation No.: 3838
Filed : January 5, 2001
For : SYSTEMS AND METHODS FOR MONITORING CREDIT
OF TRADING COUNTERPARTIES
Group Art Unit : 2164
Examiner : Not yet assigned

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New York, New York
December 17, 2001

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TRANSMITTAL LETTER

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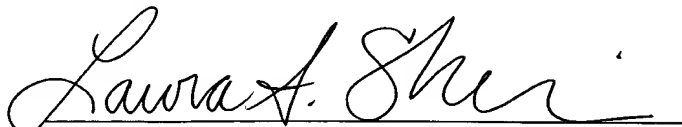
Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This Statement
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- ☐ within three months of the application filing date;
☒ more than three months from the application
filing date but before the mailing date of the
first Office Action on the merits.

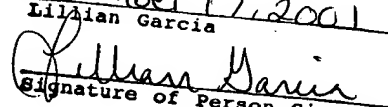
In accordance with 37 C.F.R. § 1.97, submission of
this Statement requires no fee. However, if for any reason a
fee is due, the Director of the U.S. Patent and Trademark
Office is hereby authorized to charge payment of any fees
required in connection with this Information Disclosure

Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants wish to call the attention of the Examiner to the
following documents:

U.S. Patent Documents

Kalmus et al.	4,674,044	(06/16/87)
Nelson	4,823,265	(04/18/89)
Wagner	4,903,201	(02/20/90)
Kramer	5,038,284	(08/06/91)
Kosaka et al.	5,161,103	(11/03/92)
Hartheimer et al.	5,258,908	(11/02/93)
Kosaka et al.	5,267,148	(11/30/93)
Higgins	5,270,922	(12/14/93)
Guttermann et al.	5,297,031	(03/22/94)
Hunt et al.	5,724,524	(03/03/98)
Sampson et al.	5,802,499	(09/01/98)
Broka et al.	5,809,483	(09/15/98)
Cwenar	5,893,079	(04/06/99)
Silverman et al.	5,924,083	(07/13/99)
Hess et al.	6,058,417	(05/02/00)

Foreign Patent Documents

PCT
PCT

WO 99/26173
WO 00/16224

(05/27/99)
(03/23/00)

The documents in this Information Disclosure Statement are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

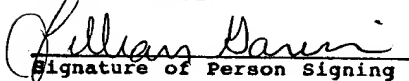
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